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PTO/SB/21 (08-00)
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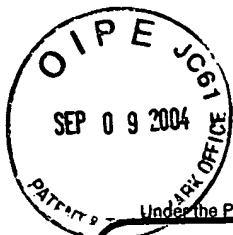
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/698,828	
	Filing Date	10/31/04	
	First Named Inventor	GUY M. LOHMAN ET AL.	
	Group Art Unit	2171	
	Examiner Name	NOT ASSIGNED	
Total Number of Pages in This Submission	5	Attorney Docket Number	ARC920030024US1

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): RETURN RECEIPT POSTCARD
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Firm or Individual name	MARC D. MCSWAIN Reg. # 44929
Signature	<i>Marc D. McSwain</i>
Date	09/07/04

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PTO/SB/17 (11-00)
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FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

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Application Number	10/698,828
Filing Date	10/31/04
First Named Inventor	GUY M. LOHMAN ET AL.
Examiner Name	NOT ASSIGNED
Group Art Unit	2171
Attorney Docket No.	ARC920030024US1

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

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090441

Deposit
Account
Name

IBM Corporation

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

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Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

Fee Paid

SUBTOTAL (1) (\$)
0

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	0
Multiple Dependent Claims	- 3** =	X	0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
----------	----------	----------	----------	-----------------

103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)
0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) PUBLICATION					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)
0

SUBMITTED BY

Name (Print/Type)

MARC D. MCSWAIN

Registration No.
(Attorney/Agent)

44,929

Complete (if applicable)

Telephone

(408) 927-3364

Signature

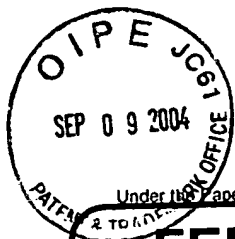
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102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
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110 18	210 9	** Reissue claims in excess of 20 and over original patent

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**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

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179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) PUBLICATION

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$

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(Attorney/Agent)

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Complete (if applicable)

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Signature

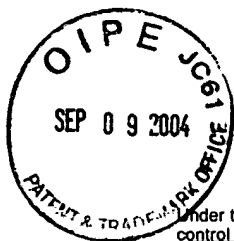
MARC D. MCSWAIN

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Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Application Number	10/698.828	
			Filing Date	10/31/04	
			First Named Inventor	GUY M. LOHMAN ET AL.	
			Art Unit	2171	
			Examiner Name	NOT ASSIGNED	
Sheet	1	of	3	Attorney Docket Number	ARC920030024US1

U.S. PATENT DOCUMENTS					
Examiner Initials ⁷	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US- 4451901	05-29-1984	WOLFE ET AL.	
		US- 5278980	01-11-1994	PEDERSEN ET AL.	
		US- 5734888	05-31-1998	LI ET AL.	
		US- 5848404	12-08-1998	HAFNER ET AL.	
		US- 6026391	02-15-2000	OSBORN ET AL.	
		US- 6,243,710	06-05-2001	DEMICHIEL ET AL.	
		US- 6,353,825	03-05-2002	PONTE	
		US- 6,366,904	04-02-2002	BENHADDA ET AL.	
		US- 6,477,573	11-05-2002	LEA	
		US- 6,480,843	11-12-2002	LI	
		US- 6,502,094	12-31-2002	GVILY ET AL.	
		US- 6,763,359	07-13-2004	LOHMAN, GUY MARING	
		US-			
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		US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials ⁷	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	-Number ⁴ - Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/698.828
		Filing Date	10/31/04
		First Named Inventor	GUY M. LOHMAN ET AL.
		Group Art Unit	2171
		Examiner Name	NOT ASSIGNED
(use as many sheets as necessary)		Attorney Docket Number	ARC920030024US1
Sheet	2	of	3

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		L. Amsaleg, M. Franklin, A. Tomasic, and T. Urhan, Scrambling Query Plans to Cope with Unexpected Delays, Proceedings of the International Conference on Parallel and Distributed Information Systems (PDIS), Miami Beach, Florida, December 1996, p. 208-219.	
		R. Avnur and J. M. Hellerstein, Eddies: Continuously Adaptive Query Optimization, Proceedings of the 2000 ACM SIGMOD International Conference on Management of Data, Dallas, Texas, 2000, p. 261-272.	
		R. Ahad, K.V.Bapa, and D. McLeod, On Estimating the Cardinality of the Projection of a Database Relation, ACM Transactions on Database Systems (TODS) v. 14, n. 1, March 1989, p. 28-40.	
		D. Donjerkovic and R. Ramakrishnan, Probabilistic Optimization of Top N Queries, Proceedings of the Twenty-fifth International Conference on Very Large Databases (VLDB'99), September 1999, Edinburgh, Scotland, p. 411-422.	
		Y.E. Ioannidis and S. Christodoulakis, On the Propagation of Errors in the Size of Join Results, Proceedings of the 1991 ACM SIGMOD International Conference on Management of Data, Denver, Colorado, May 29-31, 1991, p. 268-277.	
		Z. Ives, Efficient Query Processing for Data Integration, Ph.D. dissertation, University of Washington, 2002.	
		N. Kabra and D. DeWitt, Efficient Mid-Query Re-Optimization of Sub-Optimal Query Execution Plans, Proceedings of the ACM SIGMOD International Conference on Management of Data, v. 27, ACM Press, 1998, p. 106-117.	
		G. Lohman, Grammar-like Functional Rules for Represent Query Execution Plan Alternatives, Proceedings of the 1988 ACM SIGMOD International Conference on Management of Data, Chicago, Illinois, ACM Press, p. 18-27.	
		V. Poosala, Y. Ioannidis, P. Haas, and E. Shekita, Improved histograms for selectivity estimation of range predicates, Proceedings of the 1996 ACM SIGMOD International Conference on Management of Data, p. 294-305.	
		V. Poosala and Y. Ioannidis, Selectivity Estimation without the attribute value independence assumption, Proceedings of the 23rd International Conference on Very Large Databases (VLDB), August 1997, p. 486-495.	
		V. Raman, A. Deshpande, and J. M. Hellerstein, Using State Modules for Adaptive Query Optimization. ICDE 2003.	
		P. G. Selinger, M. M. Astrahan, D. D. Chamberlin, R. A. Lorie, and T. G. Price: Access Path Selection in a Relational Database Management System, Proceedings of the 1979 ACM SIGMOD International Conference on Management of Data, May 30-June 11 1979, Boston, Massachusetts, p. 23-34.	
		T. Urhan, M.J. Franklin, and L. Amsaleg, Cost-based Query Scrambling for Initial Delays, Proceedings of the 1998 ACM SIGMOD International Conference on Management of Data, p. 130-141.	
		M. Stillger, G. Lohman, V. Markl, and M. Kandil, LEO – DB2's Learning Optimizer, Proceedings of the 27th International Conference On Very Large Data Bases (VLDB), 2001, p. 19-28.	
		M. Zaharioudakis, R. Cochrane, G. Lapis, H. Pirahesh, and M. Urata, Answering Complex SQL Queries Using Automatic Summary Tables, Proceedings of the 2000 ACM SIGMOD International Conference on Management of Data, p. 105-116.	
		D.E. Simmen, T.Y. Leung, Y. Sun, Optimizing Database Queries Using Query Execution Plans Derived from Automatic Summary Table Determining Cost Based Queries. U.S. Ser. No. 09/502820 filed 5/18/1999.	

Examiner Signature	Date Considered
-----------------------	--------------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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		Filing Date	10/31/04
		First Named Inventor	GUY M. LOHMAN ET AL.
		Group Art Unit	2171
		Examiner Name	NOT ASSIGNED
Sheet 2 of 3	Attorney Docket Number	ARC920030024US1	

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		N. Bruno and S. Chaudhuri. Exploiting Statistics on Query Expressions for Optimization, Proceedings of the 2002 ACM SIGMOD International Conference on Management of Data, 2002, p. 263-274.	
		D. D. Chamberlin, M. M. Astrahan, W. F. King et al. Support for Repetitive Transactions and Ad-Hoc Query in System R, ACM Transactions on Database Systems (TODS), vol. 6, n.1, 1981, p. 70-94.	
		R. Cole and G. Graefe. Optimization of Dynamic Query Evaluation Plans, Proceedings of the 1994 ACM SIGMOD International Conference on Management of Data, 1994, p. 150-160.	
		A. Van Gelder. Multiple Join Size Estimation by Virtual Domains, Proceedings of the twelfth ACM SIGACT-SIGMOD-SIGART Symposium on Principles of Database Systems (PODS), 1993, p. 180-189.	
		P. Haas and A. Swami. Sampling-Based Selectivity Estimation for Joins Using Augmented Frequent Value Statistics, Proceedings of the Eleventh International Conference on Data Engineering, March 1995, p. 522-531.	
		M. Stonebraker et al. The Design and Implementation of INGRES, ACM Transactions on Database Systems (TODS), vol. 1, n. 3, September 1976, p. 189-222.	

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